

V. Internal Audit Plan for Fiscal Year 2017

Audit Title	Area / Initial Objective(s)	Projected Hours
2016 Carryover Audits		
Audit of Controls Over Purchasing and Accounts Payable Activities B/	Review select purchasing and accounts payable activities to determine the process efficiencies and effectiveness, and compliance with state regulations.	200
Audit of the Community Development Block Grant Program B/	Review select program operations to determine compliance with applicable rules and regulations, and the effectiveness of controls over expenditures/payments, policies and procedures, and grant/contractual agreements.	900
IT Governance Audit	Review processes in place to ensure IT supports the strategies and objectives of TDA to determine compliance with applicable rules and regulations, governance effectiveness, and IT performance and development frameworks.	800
2017 Audits		
Audit of the Controls over HR & Payroll A/	Review HR & Payroll process controls to determine compliance with applicable rules and regulations, and the effectiveness of system access, manual and automated controls over expenditures/payments, policies and procedures, and grant/contractual agreements.	700
Audit of Employee Lifecycle Management	Review Employee Lifecycle Management processes to benchmark best practices to agency practices. Identify non-compliance to strategic operational policies and procedures including areas such as workforce planning, compensation and benefits, employee development and risk management.	600
Audit of the Legal Division's Processing of Inspection Administrative Orders	Review the Legal Division's Processing of Inspection Administrative Orders focusing on process improvement opportunities associated with cycle time, paperless initiative and records retention.	500
Follow-up on Prior Audits		
Assess the implementation status of corrective actions taken in response to prior internal and external audit findings and recommendations.		300
Risk Assessment, Audit Plan and Annual Report		
Prepare Risk Assessment, Internal Audit Plan and Internal Audit Annual Report.		300
Fraud Hotline Admin, Consulting Services and Special Projects		
Perform activities as requested by management throughout the year, as permitted by internal audit resources and the Texas Internal Audit Act. These activities may address governance, risk management, or control issues.		450
External Audit Coordinator		
Act as a liaison for external audit activities, providing a single point of contact for all audits of TDA by oversight entities. Internal Audit assists management in coordinating TDA and external auditor interactions to ensure both parties receive accurate and timely information and feedback.		150
Total		4,900

A/ Addresses benefits proportionality

B/ Addresses Contract Management and other requirements of Senate Bill 20 (84th Legislature)

* All Projections based on full staffing.

Additional areas that ranked high, which were not included in the fiscal year 2017 audit plan are listed below:

1. Financial Services, Accounting and Budget
2. IT, Systems and Technical Support
3. Procurement/Purchasing